

# ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

## Title of Invention

ORDER RISK MANAGEMENT SYSTEM

Application Number : 10/676318  
Confirmation Number: 6511  
First Named Applicant: Scott Johnston  
Attorney Docket Number: 006119.0010  
Art Unit: 3624  
Examiner: Unassigned Unassigned  
Search string: ( 20020133456 ).pn



## US Published Applications

Note: Applicant is not required to submit a paper copy of cited US Published Applications

init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
9c	1	20020133456	2002-09-19	Lancaster			

## Signature

Examiner Name	Date
	9-9-05



PTO/SB/08a (08-03)

Approved for use through 07/31/2008. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	10/676,318
				Filing Date	October 1, 2003
				First Named Inventor	Johnston
				Art Unit	3624
				Examiner Name	T/B/D
Sheet	1	of	3	Attorney Docket Number	006119.00010

U.S. PATENT DOCUMENTS					
Examiner Initials *	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
JC 191		US- 2003/0216932	11/20/2003	Foley	
		US- 2003/0220868	11/27/2003	May	
		US- 2002/0128955	09/12/2002	Bradley	
		US- 2002/0138390	09/26/2002	May	
		US- 2002/0156719	10/24/2002	Finabaum	
		US- 2002/0169703	11/14/2002	Lutnick	
		US- 2002/0174055	11/21/2002	Dick	
		US- 2003/0097328	05/22/2003	Lundberg	
		US- 2003/0101125	05/29/2003	McGill	
		US- 2003/0093360	05/15/2003	May	
		US- 2003/0083978	05/01/2003	Brouwer	
		US- 2003/0115128	06/19/2003	Lange	
		US- 2003/0061148	03/27/2003	Alavian	
		US- 2002/0002530	01/03/2002	May	
		US- 2001/0032163	10/18/2001	Fertik	
		US- 2001/0034695	10/25/2001	Wilkinson	
		US- 2001/0042036	11/15/2001	Sanders	
		US- 2001/0044771	11/22/2001	Usher	
		US- 2003/0069836	04/10/2003	Penney	
		US- 2002/0016760	02/07/2002	Pathak	
		US- 2002/0069155	06/06/2002	Nafeh	
		US- 2002/0099651	07/25/2002	May	
		US- 2002/0116317	08/22/2002	May	
		US- 2003/0004853	01/02/2003	Ram	
		US- 2003/0028476	02/06/2003	Jenkins	
		US-2003/0023536	01/30/2003	Hollerman	
		US- 2003/0033212	02/13/2003	Sandhu	
		US- 5,924,082	07/13/1999	Silverman	
		US- 6,018,722	01/25/2000	Ray	
		US- 5,950,176	09/07/1999	Keiser	
		US- 6,236,972	05/22/2001	Shkedy	
		US- 6,317,727	11/13/2001	May	
		US- 6,321,212	11/20/2001	Lange	
		US- 6,347,307	02/12/2002	Sandhu	
		US- 6,421,653	07/16/2002	May	
		US- 6,505,174	01/07/2003	Keiser	
		US- 6,618,707	09/09/2003	Gary	

FOREIGN PATENT DOCUMENTS						
Examiner Initials *	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>2</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				

J. Colbert

9-9-05

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
QC		"Single Integrated Architecture" [retrieved on 2003/12/05] Retrieved from the internet <URL :http://www.sungard.com/products and services/stars/panorama/solutions/panoramatechnologyvandinfrastr	
QC		Senior, Adriana. "Morgan Buying Into Network For On-Line Security Trades" [retrieved on 2005/03/25] Retrieved from the internet <URL :http://proquest.unl.com/pqdlink?index=26&sid=1&srchmode=3&vinst=PROD&fmt=3&st	
		Ostrovsky, Arkady. "Working towards a seamless link: Global Protocol" [retrieved on 2005/03/25] Retrieved from the internet <URL :http://proquest.unl.com/pqdlink?index=1&sid=1&srchmode=1&vinst=PROD&fmt=3&sta	
		"Case Study: BSE implements intelligent switching architecture Combining networks intelligently" [retrieved on 2003/12/05] Retrieved from the internet <URL :http://www.networkmagazineindia.com/200302/case2.shtml	
		"BSE The Stock Exchange, Mumbai Network Diagram" [retrieved on 2003/12/05] Retrieved from the internet <URL :http://	
		Domowitz, Ian. "Electronic Derivatives Exchanges: Implicit Mergers, Network Externalities, and Standardization" The Quarterly Review of Economics and Finance, Vol. 35, No. 2, Summer, 1995, p. 163-175	
		"Derivatives Drive New Network" Barron's, Nov. 4, 1991: 71, 44: ABLINFORM Global, p. 36	
		"NYFIX, Inc. Routes OTC Orders to American Stock Exchange [retrieved on 2003/12/05] Retrieved from the internet <URL :http://www.prnewswire.com/cgi-bin/stories.pl?ACCT=SVBIZINK3.story&STORY=/www/story/11-24-2	
		"Trading and Decision Support" [retrieved on 2003/12/05] Retrieved from the internet <URL :http://www.sungard.com/products_and_services/stars/panoram/solutions/panoramatrading.htm	
		"Orc Technology" [retrieved on 2003/12/05] Retrieved from the internet <URL :http://www.orcsoftware.com/Technology/index.htm	
		"Creditex widens access" [retrieved on 2004/03/29] Retrieved from the internet <URL:http://www.efinancialnews.com/index.cfm?...on=print_view&passedref=8000000000002212	
		Treanor, Jill. "Banks plan trading network for \$52 trillion derivatives" [retrieved on 2004/03/18] Retrieved from the internet <URL :http://www.guardian.co.uk/business/story/0,3604,178019,00.html	
		"OnExchange Selects Exodus to Host Online Derivatives Exchange; Leading Online Derivatives Exchange Optimizes Network Performance by Selecting Leader in Complex Internet Hosting" [retrieved on 2004/03/25] Retrieved from the internet <URL :http://www.findarticles.com/cf_0/m0EIN/2000_Nov_7/66657629/pl/article.html	
		"ExNet Network" [retrieved on 2003/12/05] Retrieved from the internet <URL:http://www.orcsoftware.com/Products/ExNetPIPNetwork.htm	
		"Orc Futures" [retrieved on 2003/12/05] Retrieved from the internet <URL:http://www.orcsoftware.com/Products/OrcFutures.htm	
		"Orc Liquidator" [retrieved on 2003/12/05] Retrieved from the internet <URL:http://www.orcsoftware.com/Products/OrcLiquidator.htm	
		[retrieved on 2003/12/05] Retrieved from the internet <URL:http://www.wstonline.com/printableArticle/?jsessionid=NA3QPNTTNKCOIQSND8CCK...	
		[retrieved on 2003/12/05] Retrieved from the internet <URL:http://www.wstonline.com/printableArticle/?jsessionid=ILJHDTNYRJNVMSND8CCKHY?docId=14...	
		"Press Releases" [retrieved on 2004/03/18] Retrieved from the Internet <URL:http://www.swapswire.com/press/10_04_00.asp	
		"Single Integrated Architecture" [retrieved on 2003/12/05] Retrieved from the internet <URL:http://www.sungard.com/products and services/stars/panorama/solutions/panoramatechnologyvandinfrastr	
		"The integrated, real-time solution for bank treasure and portfolio management" SunGard Securities Processing	
QC		"Panorama EQN" [retrieved on 2003/12/05] Retrieved from the internet <URL:http://www.sungard.com/products_and_services/stars/panorama/solutions/panoramaotcdistribution.htm	
QC		"Chicago Board of Trade certifies Orc Software for its electronic trading platform" [retrieved on 2003/12/05] Retrieved from the internet <URL:http://www.orcsoftware.com/Company/PNR/PNR_031106_e-shot_eng.htm	

*J. Colbetti*

*9-9-05*

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
JC		"X Trader Platform " [retrieved on 2004/03/18] Retrieved from the Internet URL< <a href="http://www.tradingtechnologies.com/blue_xtrader.html">http://www.tradingtechnologies.com/blue_xtrader.html</a>	
JC		"X Trader TT Net " [retrieved on 2003/12/05] Retrieved from the internet URL< <a href="http://www.tradingtechnologies.com/blue_net.html">http://www.tradingtechnologies.com/blue_net.html</a>	

Examiner Signature	<i>E. Colbert</i>	Date Considered	9-9-05
--------------------	-------------------	-----------------	--------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

DEC 10 2003

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

*(use as many sheets as necessary)*

Sheet	1	of	2
-------	---	----	---

**Complete if Known**

<b>Application Number</b>	<b>10/676,318</b>
<b>Filing Date</b>	<b>October 1, 2003</b>
<b>First Named Inventor</b>	<b>Scott Johnston, et al</b>
<b>Art Unit</b>	<b>T/B/D</b>
<b>Examiner Name</b>	<b>T/B/D</b>
<b>Attorney Docket Number</b>	<b>006119.00010</b>

## U.S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

[illegible]

**Examiner  
Signature**

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 801.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

***If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.***

